

**UNITED STATES DEPARTMENT OF COMMERCE
Patent and Trademark Office**

Address: COMMISSIONER OF PATENTS AND TRADEMARKS
Washington, D.C. 20231

sector 4

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NO./TITLE
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09/401,074 09/22/99 VERMA A 4449

0242/1014

DANA S RAO
FENWICK & WEST LLP
TWO PALO ALTO SQUARE
PALO ALTO CA 94306

NOT ASSIGNED

2731

DATE MAILED:

10/14/99

NOTICE TO FILE MISSING PARTS OF APPLICATION

Filing Date Granted

An Application Number and Filing Date have been assigned to this application. The items indicated below, however, are missing. Applicant is given **TWO MONTHS FROM THE DATE OF THIS NOTICE** within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a). If any of items 1 or 3 through 5 are indicated as missing, the **SURCHARGE** set forth in 37 CFR 1.16(e) of ☐ \$65.00 for a small entity in compliance with 37 CFR 1.27, or ☒ \$130.00 for a non-small entity, must also be timely submitted in reply to this NOTICE to avoid abandonment.

If all required items on this form are filed within the period set above, the total amount owed by applicant as a
☐ small entity (statement filed) ☐ non-small entity is \$ 130.00.

☐ 1. The statutory basic filing fee is:

- ☐ missing.
- ☐ insufficient.

Applicant must submit \$ _____ to complete the basic filing fee and/or file a small entity statement claiming such status (37 CFR 1.27).

☐ 2. The following additional claims fees are due:

\$ _____ for _____ total claims over 20.

\$ _____ for _____ independent claims over 3.

\$ _____ for multiple dependent claim surcharge.

Applicant must either submit the additional claim fees or cancel additional claims for which fees are due.

☒ 3. The oath or declaration:

- ☐ is missing or unsigned.
- ☐ does not cover the newly submitted items.

An oath or declaration in compliance with 37 CFR 1.63, including residence information and identifying the application by the above Application Number and Filing Date is required.

☐ 4. The signature(s) to the oath or declaration is/are by a person other than inventor or person qualified under 37 CFR 1.42, 1.43 or 1.47.

A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.

☐ 5. The signature of the following joint inventor(s) is missing from the oath or declaration:

An oath or declaration in compliance with 37 CFR 1.63 listing the names of all inventors and signed by the omitted inventor(s), identifying this application by the above Application Number and Filing Date, is required.

☐ 6. A \$50.00 processing fee is required since your check was returned without payment (37 CFR 1.21(m)).

☐ 7. Your filing receipt was mailed in error because your check was returned without payment.

☐ 8. The application was filed in a language other than English.

Applicant must file a verified English translation of the application, the \$130.00 set forth in 37 CFR 1.17(k), unless previously submitted, and a statement that the translation is accurate (37 CFR 1.52(d)).

☐ 9. OTHER: _____

Direct the reply and any questions about this notice to "Attention: Box Missing Parts."

A copy of this notice MUST be returned with the reply.

12/30/1999 CCETIN
01 FC:105
00000024 09401074
130.00 OP



PTO/SB/21 (modified)
Approved for use through xx/xx/xx, OMB 0651-0031
Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

TRANSMITTAL FORM <i>(to be used for all correspondence during pendency of filed application)</i>	0001/PTO Rev. 10/95	U.S. Department of Commerce Patent and Trademark Office	Application Number	09/401,074	
			Filing Date	September 22, 1999	
			First Named Inventor	Amit Verma	
			Group Art Unit Number	2731	
			Examiner Name	Not Yet Known	
Total Number of Pages in This Submission			9	Attorney Docket Number	4449

ENCLOSURES (check all that apply)	
<input checked="" type="checkbox"/> Fee Transmittal Form (in duplicate) <input checked="" type="checkbox"/> Check Enclosed <input checked="" type="checkbox"/> Return Receipt Postcard <input checked="" type="checkbox"/> Response to Notice to File Missing Parts <input type="checkbox"/> Assignment & Recordation Cover Sheet <input checked="" type="checkbox"/> Declaration <input type="checkbox"/> Small Entity Statement <input type="checkbox"/> Information Disclosure Statement & PTO-1449 <input type="checkbox"/> Copies of IDS Cited References <input type="checkbox"/> Request for Corrected Filing Receipt <input type="checkbox"/> Request for Correction of Recorded Assignment <input type="checkbox"/> Amendment/Response: [] Page(s) <input type="checkbox"/> After Final <input type="checkbox"/> Status Request <input type="checkbox"/> Revocation and Power of Attorney	<input type="checkbox"/> Issue Fee Transmittal <input type="checkbox"/> Letter to Chief Draftsperson <input type="checkbox"/> Formal Drawing(s): [] Sheet(s) of Figure(s) [] <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences <input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief) <input type="checkbox"/> Certified Copy of Priority Document(s) <input type="checkbox"/> After Allowance Communication to Group <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>
REMARKS:	

SIGNATURE OF ATTORNEY OR AGENT			
Signature:			
Attorney/Reg. No.:	Dana S. Rao/Reg. No. 43,875	Dated:	12/21/99

CERTIFICATE OF MAILING			
I hereby certify that this correspondence, including the enclosures identified above, is being deposited with the United States Postal Service as first class mail in an envelope addressed to: The Assistant Commissioner for Patents, Washington, D.C. 20231 on the date shown below. If the Express Mail Mailing Number is filled in below, then this correspondence is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service pursuant to 37 CFR 1.10.			
Signature:			
Typed or Printed Name:	Dana S. Rao	Dated:	12/21/99
Express Mail Mailing Number (optional):			



0002/PTO(modified) U.S. Department of Commerce
Rev. 10/95 Patent and Trademark Office

FEE TRANSMITTAL

TOTAL AMOUNT OF PAYMENT

Subtotal (1) + Subtotal (2) + Subtotal (3) = **(\$240.00)**

Complete if Known

Application Number	09/401,074
Filing Date	September 22, 1999
First Named Inventor	Amit Verna
Group Art Unit	2731
Examiner Name	Not Yet Known
Attorney Docket Number	4449

METHOD OF PAYMENT

1. The Commissioner is hereby authorized to:

- ☐ Charge the indicated fees to the below mentioned deposit account.
- ☒ Charge any additional fee required under 37 CFR 1.16 - 1.21 or credit any over payments to the below mentioned deposit account. ¹
- ☐ Charge the Issue Fee set in 37 CFR 1.18 at the Mailing of the Notice of Allowance, 37 CFR 1.311(b) to the below mentioned deposit account.

Deposit Account Number: 19-2555

Deposit Account Name: FENWICK & WEST LLP

A Duplicate Copy of this authorization is attached

2. ☒ Payment Enclosed:
[X] Check [] Other

FEE CALCULATION (fees effective 11/12/98)

1. FILING FEE

Large Entity Fee Code/Fee	Small Entity Fee Code/Fee	Fee Description	Fee Due
101/\$760	201/\$380	Utility Filing	<input type="checkbox"/>
106/\$310	206/\$155	Design Filing	<input type="checkbox"/>
108/\$760	208/\$380	Reissue	<input type="checkbox"/>
114/\$150	214/\$75	Provisional Filing	<input type="checkbox"/>
SUBTOTAL (1)			(\$).00

2. CLAIMS

Large Entity Fee Code/Fee	Small Entity Fee Code/Fee	Fee Description
103/\$18	203/\$9	Claims in excess of 20
102/\$78	202/\$39	Independent claims in excess of 3
104/\$260	204/\$130	Multiple dependent claim
109/\$78	209/\$39	Reissue independent claims over original patent
110/\$18	210/\$9	Reissue claims in excess of 20 and over original patent

3. ADDITIONAL FEES

Large Entity Fee Code/Fee	Small Entity Fee Code/Fee	Fee Description	Fee Due
105/\$130	205/\$65	Surcharge - late filing fee or oath	130
127/\$50	227/\$25	Surcharge-late provisional filing fee or cover sheet	<input type="checkbox"/>
147/\$2,520	147/\$2,520	For filing a request for reexamination	<input type="checkbox"/>
115/\$110	215/\$55	Extension for response within first month [†]	110
116/\$380	216/\$190	Extension for response within second month [†]	<input type="checkbox"/>
117/\$870	217/\$435	Extension for response within third month [†]	<input type="checkbox"/>
118/\$1,380	218/\$680	Extension for response within fourth month [†]	<input type="checkbox"/>
128/\$1,850	228/\$925	Extension for response within fifth month [†]	<input type="checkbox"/>
119/\$300	219/\$150	Notice of Appeal	<input type="checkbox"/>
141/\$1,210	241/\$605	Petition to revive unintentionally abandoned application	<input type="checkbox"/>
142/\$1,210	242/\$605	Utility Issue Fee (Or Reissue)	<input type="checkbox"/>
143/\$430	243/\$215	Design Issue Fee	<input type="checkbox"/>
122/\$130	122/\$130	Petitions to the Commissioner	<input type="checkbox"/>
123/\$50	123/\$50	Petitions related to provisional applications	<input type="checkbox"/>
126/\$240	126/\$240	Submission of Information Disclosure Statement	<input type="checkbox"/>
581/\$40	581/\$40	Recording each patent assignment per property (times number of properties)	<input type="checkbox"/>
146/\$760	246/\$380	Filing a submission after final rejection (37 CFR 1.129(a))	<input type="checkbox"/>
149/\$760	249/\$380	For each additional invention to be examined (37 CFR 1.129(b))	<input type="checkbox"/>
Other fee (specify):		<input type="checkbox"/>	
Other fee (specify):		<input type="checkbox"/>	
SUBTOTAL (3)			(\$240)

(Col. 1)		(Col. 2)	(Col. 3)	Fee	Fee Due
For	No. of Existing Claims	Highest No. Previously Paid For	Extra**		
TOTAL	minus*	20 or	=	x	=
INDEP	minus*	3 or	=	x	=
[] First presentation of multiple dependent claim					

* Subtract the greater number of Col. 2

** If the difference between Col. 1 and Col. 2 is less than zero, then enter "0" in Col. 3

SUBTOTAL (2) **(\$).00**

SUBMITTED BY

Typed or Printed Name	Dana S. Rao	Complete (if applicable)	Reg. Number	43,875
Signature		Date	12/21/99	

[†] Request for Extension of Time per 37 CFR 1.136 (a)(3) made hereby



PATENT

IN THE UNITED STATES

PATENT AND TRADEMARK OFFICE

APPLICANT(S): Amit Verma and Mandayam T. Arvind
SERIAL NO.: 09/401,074
FILING DATE: September 22, 1999
TITLE: A Technique for Peak Power to Average Power Ratio Reduction in Multicarrier Communication Systems
EXAMINER: Not Yet Known
GROUP ART UNIT: 2731
ATTY. DKT. NO.: 4449

CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Assistant Commissioner For Patents, Washington, D.C. 20231, on the date shown below:

Dated: 12/21/99

By: [Signature]

Dana S. Rao, Reg. No.: 43,875

BOX MISSING PARTS
ASSISTANT COMMISSIONER FOR PATENTS
WASHINGTON, D.C. 20231

RESPONSE TO NOTICE TO FILE MISSING
PARTS OF APPLICATION

SIR:

Responsive to Form PTO-1533 dated October 14, 1999 received in the above-identified patent application, enclosed are:

- ☒ a copy of the Notice to File Missing Parts;
- ☒ an original, signed Declaration;
- ☐ a signed Verified Statement

- ☐ Applicant respectfully submits that since this application was entitled to Small Entity Status when filed, as established with the enclosed original, signed, Verified Statement, the fee for filing as a large

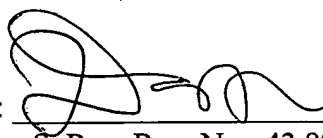
entity as indicated in the Notice to File Missing Parts is inappropriate
and that the filing fee submitted with this application as originally
filed is sufficient to cover the filing fees for this application;

☒ payment in the amount of \$130 for the surcharge and \$110 for one month
extension;

☐ Other:

Respectfully submitted,
AMIT VERMA AND MANDAYAM T. ARVIND

Dated: 12/21/99

By: 
Dana S. Rao, Reg. No.: 43,875
Fenwick & West LLP
Two Palo Alto Square
Palo Alto, CA 94306
Tel.: (650) 858-7816
Fax.: (650) 494-1417